



2872

<b>TRANSMITTAL FORM</b>  (for all correspondence after initial filing)	Attorney Docket No.	<b>BAT-101</b>	Total Pages	
	Application Number <b>10/029,399</b>			
	Filing Date <b>10/19/2001</b>			
	First Named Inventor <b>ROBERT G. BATCHKO</b>			
	Group Art Unit <b>2872</b>			
	Examiner <b>NOT YET ASSIGNED</b>			

RECEIVED  
AUG - 8 2002  
TECHNOLOGY CENTER 2800

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)	<input type="checkbox"/> Response to Notice of Missing Parts
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Applicant Claims Small Entity Status
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Declaration by Inventors
<input type="checkbox"/> Response/Amendment	<input type="checkbox"/> Assignment papers
<input type="checkbox"/> After Final Rejection	<input type="checkbox"/> Power of Attorney by Assignee
<input type="checkbox"/> After Allowance communication to Group	<input type="checkbox"/> with CFR 3.73(b) statement
<input type="checkbox"/> with Corrected Drawing(s) Total Sheets: [ ]	<input checked="" type="checkbox"/> IDS/PTO-1449
<input type="checkbox"/> with Affidavits/Declarations	<input checked="" type="checkbox"/> with copies of cited references
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> New Power of Attorney and Revocation of Old
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Change of Correspondence Address
	<input type="checkbox"/> Other:

RECEIVED  
OCT 09 2002  
Technology Center 2600  
SEP - 6 2002  
TC 800 MAIL ROOM

SIGNATURE OF AGENT	
NAME	<b>JOSHUA D. ISENBERG, REG. NO. 41,088</b>
Signature	<i>Joshua D. Isenberg</i>
Date	<b>8/1/2002</b>

Certificate of Mailing by "Regular Mail"	
I hereby certify that this correspondence is being deposited on the date indicated below as first class mail with the U.S. Postal Service addressed to the ASSISTANT COMMISSIONER FOR PATENTS, PATENT & TRADEMARK OFFICE, UNITED STATES PATENT AND TRADEMARK OFFICE, P.O. BOX 2327 ARLINGTON, VA 22202	
<i>Bmyli</i>	DATE OF MAILING: <b>8/1/2002</b>
SIGNATURE	
<i>Bmyli</i>	
NAME OF PERSON SIGNING	



**In the United States Patent and Trademark Office**

Application No.: 10/029,399  
Filed: October 19, 2001  
Title: COMBINATORIAL OPTICAL PROCESSOR  
Applicant: Robert G. Batchko  
Examiner: Not Yet Assigned  
Art Unit 2872

**RECEIVED**

OCT 09 2002

Technology Center 2600

Mailed

8/1/2002  
Fremont, CA

**Information Disclosure Statement**

Commissioner of Patents and Trademarks  
Washington, District of Columbia 20231

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon. It is requested that the document(s) on the enclosed form be made of record. As provided for by 37 C.F.R. 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

**Part I (Authority)**

This statement is filed pursuant to:

**(X) 37 C.F.R. § 1.97(b).**

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; (3) before the mailing date of a first office action on the merits; or (4) before the mailing of a first Office action after the filing of a request for continued examination under § 1.114, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

**( ) 37 C.F.R. § 1.97(c).**

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$180), or a certification according to 37 C.F.R. § 1.97(e).

**( ) 37 C.F.R. § 1.97(d).**

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the petition fee specified in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$180) and a certification according to 37 C.F.R. § 1.97(e).

**Conditional Petition**

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). Please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## **Part II (Payment)**

A check is enclosed as indicated:

- ☒ (X) No fee is due.
- ☐ ( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$180).
- ☐ ( ) The petition fee specified in 37 C.F.R. § 1.17(p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$180).

## **Part III (Certification)**

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ (X) No certification is necessary.
- ☐ ( )
  - (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
  - ☐ ( ) The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
  - ☐ ( ) The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ☐ ( )
  - (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

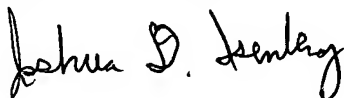
## **Part IV (Additional Statement)**

An additional statement regarding these items of information ( ) is, ( ) is not, enclosed.

Copies of the cited art ( ) are enclosed, ( ) are of record in parent application Serial No. \_\_\_\_\_ and will be provided if the Examiner deems it convenient.

Dated: 8/1/2002

Respectfully submitted,



Joshua D. Isenberg  
Reg. No. 41,088  
204 Castro Lane  
Fremont, CA 94539  
tel: (510) 896-8328  
fax: (510) 360-9656

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE										ATTY. DOCKET NO. <b>BAT-101</b>		SERIAL NO. <b>10/029,390</b>		
<b>LIST OF PRIOR ART CITED BY APPLICANT</b> (Use several sheets if necessary)										APPLICANT <b>Robert G. Batcho</b>				
										FILING DATE <b>10/19/2001</b>		GROUP <b>2872</b>		
<b>U.S. PATENT DOCUMENTS</b>														
EXAMINER INITIAL	TRADE MARK	DOCUMENT NUMBER							DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE	
	A	6	3	5	9	6	7	4	3/19/2002	Horiuchi	349	200	6/7/2000	
	B	6	3	2	0	6	3	5	11/20/2001	Matsui	349	133	2/5/1999	
	C	6	3	1	7	1	9	0	11/13/2001	Winarski et al.	349	200	6/14/1999	
	D	6	2	1	1	9	7	6	4/3/2001	Popovich et al.	359	15	6/30/2000	
	E	6	1	8	3	0	8	8	2/6/2001	LoRe	353	7	5/25/1999	
	F	5	9	4	2	1	5	7	8/24/1999	Sutherland et al.	252	582	7/12/1996	
	G	5	7	6	8	2	4	2	6/16/1998	Juday	369	103	4/5/1996	
	H	5	7	5	1	4	7	1	5/12/1998	Chen et al.	359	319	5/2/1997	
	I	5	7	5	1	4	5	2	5/12/1998	Tanaka et al.	359	52	2/18/1994	
	J	5	7	1	2	7	2	1	1/27/1998	Large	359	245	10/3/1995	
	K	5	1	5	0	2	3	4	9/22/1992	Takahashi et al.	359	65	11/4/1991	
	L	5	0	7	1	2	2	9	12/10/1991	Oaki et al.	359	53	8/7/1989	
	M	4	9	8	9	9	5	8	2/5/1991	Hamada et al.	350	419	11/2/1988	
<b>FOREIGN PATENT DOCUMENTS</b>														
		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
												YES	NO	
<b>OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>														
	N	L. Vicari, "Liquid-Crystal Layer Between Rough Polymeric Surfaces", Journal of the Optical Society of America B, Vol. 16, No. 7, July 1999.												
<b>EXAMINER</b>										<b>DATE CONSIDERED</b>				
* <b>EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.														

RECEIVED  
 OCT 09 2002  
 Technology Center 2600

OFFICE  
 AUG 06 2002  
 PATENT & TRADEMARK OFFICE